

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE			
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT		Docket Number: 12406/60	
Application Number 10/698,152	Filing Date October 31, 2003	Examiner Kumiko C. Koyama	Art Unit 2876
Invention Title METHOD AND APPARATUS FOR PROVIDING AND PROCESSING ACTIVE BARCODES		Inventor(s) Thomas K. ORAM	

Address to:
Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. box 1450, Alexandria, VA 22313-1450 on:

Date: Aug. 16, 2006 Reg. No. 47,893

Signature: 

Andrew L. Reibman

Res. 17, 893

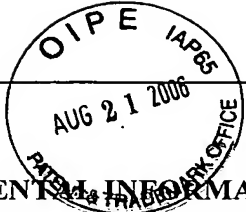
1. In accordance with the duty of disclosure under 37 C.F.R. § 1.56 and in conformance with the procedures of 37 C.F.R. §§ 1.97 and 1.98 and M.P.E.P. § 609, attorneys for Applicants hereby bring the following references to the attention of the Examiner. The references are listed on the attached modified PTO Form No. 1449. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.
2. A copy of each patent, publication or other information listed on the modified PTO form 1449 is enclosed, including a copy of the International Search Report from corresponding application PCT/US2004/036175 is also attached.
3. The filing of this Information Disclosure Statement and the enclosed PTO Form No. 1449, shall not be construed as an admission that the information cited is prior art, or is considered to be material to patentability as defined in 37 C.F.R. §1.56(b).
4. It is believed that no fees are due in connection with this Information Disclosure Statement. However, should any fees be due, the Commissioner is authorized to charge Deposit Account No. 11-0600 for such fees. A duplicate copy of this communication is enclosed for charging purposes.

Dated: Aug. 16, 2006

By: 

Andrew L. Reibman (Reg. No. 47,893)

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 <p>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT PTO-1449</p>	DOCKET NO. 12406/60	SERIAL NO. 10/698,152
	APPLICANT Thomas K. ORAM	
	FILING DATE October 31, 2003	GROUP 2876

U. S. PATENT DOCUMENTS

EXAMINER INITIAL	PATENT NUMBER	PATENT DATE	NAME	CLASS	SUBCLASS	FILING DATE

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS

EXAMINER INITIAL		AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.
		International Search Report, Appln. No. PCT/US2004/036175, dated February 17, 2005.

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered whether or not citation is in conformance with M.P.E.P. 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

PCT

To:

KENYON & KENYON
Attn. Meloro, Thomas J.
One Broadway
New York, NY 10004
UNITED STATES OF AMERICA

NOTIFICATION OF TRANSMITTAL OF
THE INTERNATIONAL SEARCH REPORT AND
THE WRITTEN OPINION OF THE INTERNATIONAL
SEARCHING AUTHORITY, OR THE DECLARATION

(PCT Rule 44.1)

Date of mailing
(day/month/year)

17/02/2005

Applicant's or agent's file reference
12406/6076

FOR FURTHER ACTION See paragraphs 1 and 4 below

International application No.
PCT/US2004/036175

International filing date
(day/month/year)

28/10/2004

Applicant

GTECH RHODE ISLAND CORPORATION

1. ☒ The applicant is hereby notified that the international search report and the written opinion of the International Searching Authority have been established and are transmitted herewith.

Filing of amendments and statement under Article 19:

The applicant is entitled, if he so wishes, to amend the claims of the International Application (see Rule 46):

When? The time limit for filing such amendments is normally 2 months from the date of transmittal of the International Search Report; however, for more details, see the notes on the accompanying sheet.

Where? Directly to the International Bureau of WIPO, 34 chemin des Colombettes
1211 Geneva 20, Switzerland, Facsimile No.: (41-22) 740.14.35

For more detailed instructions, see the notes on the accompanying sheet.

2. ☐ The applicant is hereby notified that no international search report will be established and that the declaration under Article 17(2)(a) to that effect and the written opinion of the International Searching Authority are transmitted herewith.
3. ☐ **With regard to the protest** against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:

- ☐ the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.
- ☐ no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

4. Reminders

Shortly after the expiration of **18 months** from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90bis.1 and 90bis.3, respectively, before the completion of the technical preparations for international publication.

The applicant may submit comments on an informal basis on the written opinion of the International Searching Authority to the International Bureau. The International Bureau will send a copy of such comments to all designated Offices unless an international preliminary examination report has been or is to be established. These comments would also be made available to the public but not before the expiration of 30 months from the priority date.

Within **19 months** from the priority date, but only in respect of some designated Offices, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until **30 months** from the priority date (in some Offices even later); otherwise, the applicant must, **within 20 months** from the priority date, perform the prescribed acts for entry into the national phase before those designated Offices.

In respect of other designated Offices, the time limit of **30 months** (or later) will apply even if no demand is filed within 19 months.

See the Annex to Form PCT/IB/301 and, for details about the applicable time limits, Office by Office, see the *PCT Applicant's Guide*, Volume II, National Chapters and the WIPO Internet site.

Name and mailing address of the International Searching Authority



European Patent Office, P.B. 5818 Patentlaan 2
NL-2280 HV Rijswijk
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,
Fax: (+31-70) 340-3016

Authorized officer

Olga Benitez

(See notes on accompanying sheet)

NOTES TO FORM PCT/ISA/220

These Notes are intended to give the basic instructions concerning the filing of amendments under article 19. The Notes are based on the requirements of the Patent Cooperation Treaty, the Regulations and the Administrative Instructions under that Treaty. In case of discrepancy between these Notes and those requirements, the latter are applicable. For more detailed information, see also the PCT Applicant's Guide, a publication of WIPO.

In these Notes, "Article", "Rule", and "Section" refer to the provisions of the PCT, the PCT Regulations and the PCT Administrative Instructions respectively.

INSTRUCTIONS CONCERNING AMENDMENTS UNDER ARTICLE 19

The applicant has, after having received the international search report, one opportunity to amend the claims of the international application. It should however be emphasized that, since all parts of the international application (claims, description and drawings) may be amended during the international preliminary examination procedure, there is usually no need to file amendments of the claims under Article 19 except where, e.g. the applicant wants the latter to be published for the purposes of provisional protection or has another reason for amending the claims before international publication. Furthermore, it should be emphasized that provisional protection is available in some States only.

What parts of the international application may be amended?

Under Article 19, only the claims may be amended.

During the international phase, the claims may also be amended (or further amended) under Article 34 before the International Preliminary Examining Authority. The description and drawings may only be amended under Article 34 before the International Examining Authority.

Upon entry into the national phase, all parts of the international application may be amended under Article 28 or, where applicable, Article 41.

When?

Within 2 months from the date of transmittal of the international search report or 16 months from the priority date, whichever time limit expires later. It should be noted, however, that the amendments will be considered as having been received on time if they are received by the International Bureau after the expiration of the applicable time limit but before the completion of the technical preparations for international publication (Rule 46.1).

Where not to file the amendments?

The amendments may only be filed with the International Bureau and not with the receiving Office or the International Searching Authority (Rule 46.2).

Where a demand for international preliminary examination has been/is filed, see below.

How?

Either by cancelling one or more entire claims, by adding one or more new claims or by amending the text of one or more of the claims as filed.

A replacement sheet must be submitted for each sheet of the claims which, on account of an amendment or amendments, differs from the sheet originally filed.

All the claims appearing on a replacement sheet must be numbered in Arabic numerals. Where a claim is cancelled, no renumbering of the other claims is required. In all cases where claims are renumbered, they must be renumbered consecutively (Administrative Instructions, Section 205(b)).

The amendments must be made in the language in which the international application is to be published.

What documents must/may accompany the amendments?

Letter (Section 205(b)):

The amendments must be submitted with a letter.

The letter will not be published with the international application and the amended claims. It should not be confused with the "Statement under Article 19(1)" (see below, under "Statement under Article 19(1)").

The letter must be in English or French, at the choice of the applicant. However, if the language of the international application is English, the letter must be in English; if the language of the international application is French, the letter must be in French.

NOTES TO FORM PCT/ISA/220 (continued)

The letter must indicate the differences between the claims as filed and the claims as amended. It must, in particular, indicate, in connection with each claim appearing in the international application (it being understood that identical indications concerning several claims may be grouped), whether

- (i) the claim is unchanged;
- (ii) the claim is cancelled;
- (iii) the claim is new;
- (iv) the claim replaces one or more claims as filed;
- (v) the claim is the result of the division of a claim as filed.

The following examples illustrate the manner in which amendments must be explained in the accompanying letter:

1. [Where originally there were 48 claims and after amendment of some claims there are 51]:
"Claims 1 to 29, 31, 32, 34, 35, 37 to 48 replaced by amended claims bearing the same numbers; claims 30, 33 and 36 unchanged; new claims 49 to 51 added."
2. [Where originally there were 15 claims and after amendment of all claims there are 11]:
"Claims 1 to 15 replaced by amended claims 1 to 11."
3. [Where originally there were 14 claims and the amendments consist in cancelling some claims and in adding new claims]:
"Claims 1 to 6 and 14 unchanged; claims 7 to 13 cancelled; new claims 15, 16 and 17 added." or
"Claims 7 to 13 cancelled; new claims 15, 16 and 17 added; all other claims unchanged."
4. [Where various kinds of amendments are made]:
"Claims 1-10 unchanged; claims 11 to 13, 18 and 19 cancelled; claims 14, 15 and 16 replaced by amended claim 14; claim 17 subdivided into amended claims 15, 16 and 17; new claims 20 and 21 added."

"Statement under article 19(1)" (Rule 46.4)

The amendments may be accompanied by a statement explaining the amendments and indicating any impact that such amendments might have on the description and the drawings (which cannot be amended under Article 19(1)).

The statement will be published with the international application and the amended claims.

It must be in the language in which the international application is to be published.

It must be brief, not exceeding 500 words if in English or if translated into English.

It should not be confused with and does not replace the letter indicating the differences between the claims as filed and as amended. It must be filed on a separate sheet and must be identified as such by a heading, preferably by using the words "Statement under Article 19(1)."

It may not contain any disparaging comments on the international search report or the relevance of citations contained in that report. Reference to citations, relevant to a given claim, contained in the international search report may be made only in connection with an amendment of that claim.

Consequence if a demand for international preliminary examination has already been filed

If, at the time of filing any amendments under Article 19, a demand for international preliminary examination has already been submitted, the applicant must preferably, at the same time of filing the amendments with the International Bureau, also file a copy of such amendments with the International Preliminary Examining Authority (see Rule 62.2(a), first sentence).

Consequence with regard to translation of the international application for entry into the national phase

The applicant's attention is drawn to the fact that, where upon entry into the national phase, a translation of the claims as amended under Article 19 may have to be furnished to the designated/elected Offices, instead of, or in addition to, the translation of the claims as filed.

For further details on the requirements of each designated/elected Office, see Volume II of the PCT Applicant's Guide.

PATENT COÖPERATION TREATY

PCT

INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference 12406/6076	FOR FURTHER ACTION		see Form PCT/ISA/220 as well as, where applicable, item 5 below.
International application No. PCT/US2004/036175	International filing date (day/month/year) 28/10/2004	(Earliest) Priority Date (day/month/year) 31/10/2003	
Applicant GTECH RHODE ISLAND CORPORATION			

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 5 sheets.

☒ It is also accompanied by a copy of each prior art document cited in this report.

1. Basis of the report

a. With regard to the **language**, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

☐ The international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

b. ☐ With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, see Box No. I.

2. ☐ **Certain claims were found unsearchable** (See Box II).

3. ☐ **Unity of invention is lacking** (see Box III).

4. With regard to the title,

☒ the text is approved as submitted by the applicant.

☐ the text has been established by this Authority to read as follows:

5. With regard to the abstract,

☒ the text is approved as submitted by the applicant.

☐ the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box No. IV. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. With regard to the drawings,

a. the figure of the **drawings** to be published with the abstract is Figure No. 4

☐ as suggested by the applicant.

☒ as selected by this Authority, because the applicant failed to suggest a figure.

☐ as selected by this Authority, because this figure better characterizes the invention.

b. ☐ none of the figures is to be published with the abstract.

INTERNATIONAL SEARCH REPORT

International Application No

PCT/US2004/036175

A. CLASSIFICATION OF SUBJECT MATTER

IPC 7 G07D7/00 G07C15/00 G07F7/08

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 G07D G07F G07C G06K

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, WPI Data, PAJ

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	US 5 288 976 A (CITRON ET AL) 22 February 1994 (1994-02-22) abstract column 1, line 20 - line 49 column 2, line 55 - column 3, line 60 column 4, line 27 - line 59 column 6, line 3 - column 7, line 12 figure 3	1-18, 69-71
A	----- -/--	19-68

☒ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

* Special categories of cited documents :

- *A* document defining the general state of the art which is not considered to be of particular relevance
- *E* earlier document but published on or after the international filing date
- *L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- *O* document referring to an oral disclosure, use, exhibition or other means
- *P* document published prior to the international filing date but later than the priority date claimed

- *T* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- *X* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- *Y* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- *G* document member of the same patent family

Date of the actual completion of the international search

9 February 2005

Date of mailing of the international search report

17/02/2005

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2
NL - 2280 HV Rijswijk
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,
Fax: (+31-70) 340-3016

Authorized officer

Bassanini, A

INTERNATIONAL SEARCH REPORT

International Application No
PCT/US2004/036175

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	WO 01/80162 A (PERRY, KENNETH, E; SANCHEZ, CAYETANO, III; MONDOU, DENIS; RICHARD, ERI) 25 October 2001 (2001-10-25) page 2, line 11 - page 5, line 11 page 6, line 17 - page 8, line 5 page 12, line 6 - line 10 page 13, line 14 - page 15, line 10	19-30
A	-----	1-18, 69-71
X	WO 02/21264 A (SUN MICROSYSTEMS, INC) 14 March 2002 (2002-03-14) abstract page 2, line 11 - page 4, line 4 page 5, line 1 - page 10, line 21 figures 2-5	31-68
Y	-----	19-30
A	-----	1-18, 69-71
X	US 6 243 480 B1 (ZHAO JIAN ET AL) 5 June 2001 (2001-06-05) abstract column 3, line 57 - column 4, line 14 column 4, line 55 - line 63 column 11, line 27 - column 12, line 55 figures 2,4,6-8	1-71
X	-----	1-71
X	US 6 375 078 B1 (RUSSELL GARRETT ET AL) 23 April 2002 (2002-04-23) column 3, line 23 - line 39 column 3, line 60 - column 5, line 30 column 6, line 44 - column 8, line 54 column 9, line 15 - column 14, line 56 column 24, line 1 - line 55	1-71
A	-----	1-30, 69-71
A	PATENT ABSTRACTS OF JAPAN vol. 2002, no. 12, 12 December 2002 (2002-12-12) & JP 2002 230220 A (DAINIPPON PRINTING CO LTD), 16 August 2002 (2002-08-16) abstract	1-30, 69-71
A	-----	1-30, 69-71
A	WO 94/27258 A (INTERACTIVE TELEVISION SYSTEMS, INC; RHOADES, DONALD, E; SPAULDING, JO) 24 November 1994 (1994-11-24) the whole document	1-30, 69-71
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INTERNATIONAL SEARCH REPORT

International Application No

PCT/US2004/036175

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	<p>MARRIOTT M: "PDF417 PORTABLE DATA FILES A NEW DIMENSION IN BARCODES" SENSOR REVIEW, IFS PUBLICATIONS, BEDFORD, GB, vol. 15, no. 1, 1995, pages 33-35, XP008003287 ISSN: 0260-2288 the whole document</p> <p>-----</p>	<p>9, 17, 30, 35, 45, 55, 61, 71</p>

INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US2004/036175

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
US 5288976	A	22-02-1994	NONE	
WO 0180162	A	25-10-2001	AU 5534701 A CA 2377001 A1 EP 1290620 A1 WO 0180162 A1	30-10-2001 25-10-2001 12-03-2003 25-10-2001
WO 0221264	A	14-03-2002	AU 9068001 A WO 0221264 A2	22-03-2002 14-03-2002
US 6243480	B1	05-06-2001	AT 235775 T DE 69906270 D1 DE 69906270 T2 WO 9957885 A1 EP 1075757 A1 JP 2002514857 T WO 0068875 A1 US 2002122568 A1 US 2004236951 A1 US 6487301 B1	15-04-2003 30-04-2003 11-12-2003 11-11-1999 14-02-2001 21-05-2002 16-11-2000 05-09-2002 25-11-2004 26-11-2002
US 6375078	B1	23-04-2002	US 6568595 B1 US 5905248 A US 6152369 A US 5992752 A US 6076733 A US 5869819 A US 6068188 A US 5844227 A US 6286760 B1 US 5808285 A US 5557093 A US 5525789 A US 5661292 A US 5484992 A US 5591953 A US 5616908 A US 5874721 A US 5260553 A US 2004046014 A1 US 6412699 B1 AU 5367998 A AU 5513498 A AU 7411698 A BR 9713416 A BR 9713425 A BR 9713426 A CA 2272467 A1 CA 2272583 A1 CA 2272585 A1 CN 1256772 A CN 1246939 A EP 0950226 A1 EP 0958546 A1 EP 1019844 A1 JP 2002512709 T JP 2002516637 T KR 2000057247 A	27-05-2003 18-05-1999 28-11-2000 30-11-1999 20-06-2000 09-02-1999 30-05-2000 01-12-1998 11-09-2001 15-09-1998 17-09-1996 11-06-1996 26-08-1997 16-01-1996 07-01-1997 01-04-1997 23-02-1999 09-11-1993 11-03-2004 02-07-2002 22-06-1998 22-06-1998 22-06-1998 18-04-2000 25-01-2000 25-01-2000 04-06-1998 04-06-1998 04-06-1998 14-06-2000 08-03-2000 20-10-1999 24-11-1999 19-07-2000 23-04-2002 04-06-2002 15-09-2000

INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US2004/036175

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
US 6375078	B1	KR 2000057248 A	15-09-2000
		WO 9824049 A1	04-06-1998
		WO 9824036 A1	04-06-1998
		WO 9824050 A1	04-06-1998
		US 6622919 B1	23-09-2003
		US 6386453 B1	14-05-2002
		US 2003178491 A1	25-09-2003
		US 6227450 B1	08-05-2001
		US 2002170968 A1	21-11-2002
		US 6742709 B2	01-06-2004
		US 6505776 B1	14-01-2003
		US 6338434 B1	15-01-2002
		US 6464139 B1	15-10-2002

JP 2002230220	A	16-08-2002	NONE

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		WO 9427258 A1	12-12-1994
			24-11-1994
